



#9
2161 BT
03.5-03

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

First Named

Inventor : David Ellis et al.

Appln. No. : 09/977,050

Filed : October 12, 2001

For : INTEGRATIVE RISK MANAGEMENT
SYSTEM AND METHOD

Docket No.: S85.12-0001

Group Art Unit: 2161

Examiner:

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
Washington, D.C. 20231

I HEREBY CERTIFY THAT THIS PAPER IS BEING
SENT BY U.S. MAIL, FIRST CLASS, TO THE
ASSISTANT COMMISSIONER FOR PATENTS,
WASHINGTON, D.C. 20231, THIS

20 DAY OF February 20 2003
[Signature]
PATENT ATTORNEY

Sir:

The patents or publications listed on the enclosed PTO
Form-1449 are submitted pursuant to 37 C.F.R. § 1.97. Copies of
the patents or publications cited are enclosed.

LIST REFERENCES NOT SUBMITTED

Submitted herewith is a copy (with English translation
as appropriate) of an Official Search Report of the British Patent
Office in British application No. GB 0025066.2 filed October 12,
2000, which is the priority application.

RECEIVED
FEB 28 2003

GROUP 3600

TIME OF FILING

The information disclosure statement is being filed:

1. X with the application or within three months of the
filing date of the application or date of entry into
the national stage of an international application or
before the mailing date of a first Office action on
the merits, whichever event occurs last. In
accordance with 37 C.F.R. § 1.97(b), no statement or
fee is required.

2. ___ after the time period specified in paragraph 1 above, but before the mailing date of a final action under 37 C.F.R. § 1.113 or notice of allowance under 37 C.F.R. § 1.311. Therefore, in accordance with 37 C.F.R. § 1.97(c), submitted herewith is:

(check either A or B below)

- A. ___ a statement as specified in 37 C.F.R. § 1.97(e).
B. ___ the fee set forth in 37 C.F.R. § 1.17(p) for submission of an information disclosure statement under 37 C.F.R. § 1.97(c).

3. ___ after the mailing date of either a final action under 37 C.F.R. § 1.113 or a notice of allowance under 37 C.F.R. § 1.311, whichever occurs first, but before payment of the issue fee. Therefore, Applicant petitions for consideration and submits herewith:

- A. a statement as specified in 37 C.F.R. § 1.97(e);
B. the petition fee set forth in 37 C.F.R. § 1.17(p).

STATEMENT

(only used if No. 2(A) or No. 3 above is checked)

The person(s) signing below certify

(check appropriate paragraph)

___ that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement. 37 C.F.R. § 1.97(e)(1).

OR

___ that no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than

three months prior to the filing of this statement. 37
C.F.R. § 1.97(e)(2).

METHOD OF PAYMENT

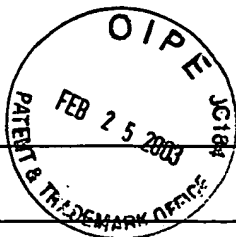
 X No fee is required.
 Attached is a check in the amount of \$.

The Director is authorized to charge any fee deficiency required by this paper or credit any overpayment to Deposit Account No. 23-1123.

Respectfully submitted,
WESTMAN, CHAMPLIN & KELLY, P.A.

By: _____
Nickolas E. Westman, Reg. No. 20,147
Suite 1600 - International Centre
900 Second Avenue South
Minneapolis, Minnesota 55402-3319
Phone: (612) 334-3222
Fax: (612) 334-3312

NEW:lah



FORM PTO-1449	Atty. Docket No.: S85.12-0001	Appl. No.: 09/977,050
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT	First Named Inventor:	
	David Ellis et al.	
	Filing Date	Group Art:
	October 12, 2001	2161

U.S. PATENT DOCUMENTS

Examiner Initial	Document No.	Date	Name	Class	Sub Class	Filing Date If Appropriate
AA	5,930,762	07/1999	Masch	705	7	
AB						
AC						
AD						
AE						
AF						
AG						
AH						
AI						
AJ						
AK						

RECEIVED
FEB 28 2003
GROUP 3600

FOREIGN PATENT DOCUMENTS

	Document No.	Date	Country	Class	Sub Class	Translation Yes No
AL	JP 20000200303 A		Japan			X
AM	JP 2000011048 A		Japan			X
AN						

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

AO	
AP	
AQ	

EXAMINER:

DATE CONSIDERED:

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.